

OFFICE OF THE SECRETARY OF TRANSPORTATION
99-5-YEAR IT PLAN
EXECUTIVE SUMMARY

The OST information technology management strategy is the same as that for the Department: to improve mission performance, data sharing, system integrity, communications, and productivity through deployment of information systems which are secure, reliable, compatible, and cost effective now and beyond the Year 2000. To this end, key OST accomplishments and plans are:

1998 Accomplishments

- Six of eleven mission-critical OST systems (including some used DOT-wide) have been certified as being Y2K-compliant, including the Contract Information System and the Grant Information System. All OST mission-critical systems on target with OMB-established milestones.
- New and/or enhanced websites have been launched to better share information with each other and the public, including a DOT Intranet homepage, a Y2K Transportation Sector Outreach homepage, and various ONE DOT websites.
- Various applications have been deployed or enhanced, including a DOT-wide search engine for use across DOT websites, a web-enabled automated forms package, a new version of the PerDiemAzing Travel Management System, three civil rights case-tracking and reporting systems, and a web-enabled balanced scorecard to evaluate the performance of DOT procurement organizations.
- New DOT policies have been issued for e-mail and forms management, and an Internet policy will be finalized imminently.

1999 Plans

- OST fully expects all its systems to be Y2K-compliant so that no service disruptions occur. However, in the event of a problem, Business Continuity and Contingency Plans will be in place.
- Implementation of key components of the financial management DELPHI system will begin.
- Systems to measure performance and other relevant factors (e.g., workload, cost, schedule) will be established for civil rights and capital programming.
- New IT security policy will be issued, including an interactive website for educational purposes.

FY-99 5-YEAR IT PLAN

INITIATIVE ID: OSTOO001

OA: OST

ORGANIZATION/ENTITY (OA OFFICE SYMBOL - PHONE BOOK CODE): B-30

TITLE OF PROGRAM/PROJECT:

Departmental Accounting and Financial Information System (DAFIS)

TOTAL LIFE CYCLE COST (IN \$000): \$173,000

DESCRIPTION:

"The high cost of managing and maintaining "in-house" developed applications, the lengthy and cumbersome change management process for such applications, and the significant impact of Year 2000 renovations required DOT to move aggressively to evolve its aging financial system to a modern, commercial-off-the-shelf (COTS) solution which represent and automate best practices in financial management. To achieve this vision, in 1997, an operational capabilities demonstration (OCD) of the U.S. Coast Guard's COTS financial management system concluded that DAFIS could evolve to meet current and future needs of the Department. The evolution of DAFIS will increase services at reduced costs of operation and create a more integrated FM systems environment that supplies valuable information to its program, budget, and financial managers"

JUSTIFICATION - PERFORMANCE AND SAVINGS:

CONTACT PERSON AND PHONE NUMBER: David Kleinberg 202-366-9192

CONTRACT STRATEGY:

Reimbursable agreement with the FAA for production, maintenance, and enhancement services. This contracting approach means the Department's operating administrations are being cross-serviced for their financial systems as well as some operations to efficiently employ economies of scale. Various aspects of the agreement are performance-based, including system availability and response time.

INITIATIVE ID: OSTOO002

OA: OST

ORGANIZATION/ENTITY (OA OFFICE SYMBOL - PHONE BOOK CODE): B-30

TITLE OF PROGRAM/PROJECT:

CONSOLIDATED UNIFORM PAYROLL SYSTEM (CUPS)

TOTAL LIFE CYCLE COST (IN \$000): \$135,829,000

DESCRIPTION:

FAA is the executive agent for operation of the Department-wide payroll system. Funds are required to support maintenance and enhancement of the system and processing of time and attendance data.

Operations funds are required at Southern Region and the Aeronautical Center Payroll Processing centers and for ADP services at the Aeronautical Center for central processing. Reimbursable positions at OST support the overall operation of the system. Costs will be impacted by FAA's implementation of personnel reform and the suspension of IPPS development. We are migrating off the system. It has reached the end of its life cycle. There is no development going taking place.

JUSTIFICATION - PERFORMANCE AND SAVINGS:

Migrating off the system. It has reached the end of its life cycle. There is no development involved. All costs are considered maintenance costs.

CONTACT PERSON AND PHONE NUMBER: Steve Swanson 202-366-6100

CONTRACT STRATEGY:

The strategy is to continue to use a reimburseable agreement with the FAA as a means of maintaining and operating the present system until a new DOT Human Resources Management Information System is implemented.

INITIATIVE ID: OSTOO003 **OA:** OST

ORGANIZATION/ENTITY (OA OFFICE SYMBOL - PHONE BOOK CODE): B-30

TITLE OF PROGRAM/PROJECT:

PERDIEMAZING TRAVEL MANAGEMENT SYSTEM (PDTMS)

TOTAL LIFE CYCLE COST (IN \$000): \$0

DESCRIPTION:

In June 1995, OST entered into a five year contract with Aldmyr Systems Inc. (ASI) for their travel management system, PDTMS. PDTMS is commercial off-the-shelf (COTS) software that will support the complete range of transactions associated with temporary duty travel and relocation travel performed by Government personnel. The contract calls for several upgrades to PDTMS to ensure full compliance with both the Federal Travel Regulation and the Joint Financial Management Improvement Program Travel System Requirements document. These upgrades include on-line access to Government contract fares for airlines and rental cars as well as to hotel/motel rates offered to Government travelers.

In August 1995, we tested and conditionally accepted the baseline PDTMS product. Our conditional acceptance committed ASI to deliver additional upgrades to PDTMS in accordance with an established schedule that wraps up in December 1998. OST is the main test site and it put the baseline PDTMS into production on October 1, 1995. The PDTMS interface to our accounting system (DAFIS) was put into production in January 1997. Now, travel transactions enter DAFIS electronically and our accounting offices are freed from manually entering this information from paper documents. Paper in the form of authorizations, vouchers and receipts no longer flow to the accounting office. Accounting offices review vouchers only on a statistical sampling basis. Program offices are responsible for maintaining travel receipts and making them accessible to reviewing authorities, e.g., Office of Inspector General, General Accounting Office and the DOT accounting offices, when the statistical sample flags the travel voucher for audit.

JUSTIFICATION - PERFORMANCE AND SAVINGS:

Is Y2K compliant according to the vendor. Will perform testing to verify this.

CONTACT PERSON AND PHONE NUMBER: Steve Swanson 202-366-6100

CONTRACT STRATEGY:

INITIATIVE ID: OSTOO004 **OA:** OST

ORGANIZATION/ENTITY (OA OFFICE SYMBOL - PHONE BOOK CODE): M-60

TITLE OF PROGRAM/PROJECT:

DOT CONTRACT INFORMATION SYSTEM (CIS)

TOTAL LIFE CYCLE COST (IN \$000): \$4,075

DESCRIPTION:

The CIS collects DOT-wide data required by statute on contract awards by all elements in DOT. The system is used to provide input to the Governmentwide Federal Procurement Data System. The CIS is also used to provide contract information to Departmental managers, Members of Congress, auditors, and the general public. The CIS is funded through the Working Capital Fund, with most costs

charged back to the operating administrations.

JUSTIFICATION - PERFORMANCE AND SAVINGS:

The CIS is needed to provide data on DOT contract awards to the Federal Procurement Data System as required by the Consolidated Federal Funds Report Act. The CIS also provides information to DOT management and Congress on DOT contracts. The CIS greatly reduces the cost of the operating administrations have to expend to meet the reporting requirements of the FPDS and to respond to Congressional and Departmental contract information needs.

CONTACT PERSON AND PHONE NUMBER: BARBARA FALLAT 202-366-4974

CONTRACT STRATEGY:

The CIS is managed by the Office of Acquisition and Grant Management, with contractor support for system operation, maintenance and programming from the Transportation Computer Center. Development efforts for CIS internet capability will use independent contractors.

INITIATIVE ID: OSTOO005 **OA:** OST

ORGANIZATION/ENTITY (OA OFFICE SYMBOL - PHONE BOOK CODE): M-60

TITLE OF PROGRAM/PROJECT:

DOT GRANT INFORMATION SYSTEM (GIS)

TOTAL LIFE CYCLE COST (IN \$000): \$640

DESCRIPTION:

The GIS collects DOT-wide data on Federal financial assistance awards by all elements in DOT. The system is used to provide input to the Governmentwide Federal Assistance Award Data System (FAADS). The GIS is also use to provide grant award information to Departmental managers, Members of Congress, auditors, and the general public. The system was redesigned in Fiscal Year 1998 to be Year 2000 compliant and easier to maintain. The GIS is funded through the Working Capital Fund, with most costs charged back to the operating administrations.

JUSTIFICATION - PERFORMANCE AND SAVINGS:

The GIS is needed to provide data on DOT grant awards to the Federal Assistance Award Data system as required by the Consolidated Federal Funds Report Act. The GIS also provides information to DOT management and Congress on DOT federal assistance awards. The GIS greatly reduces the cost of the operating administrations have to expend to meet the reporting requirements of the FAADS and to respond to Congressional and Departmental grant information needs.

CONTACT PERSON AND PHONE NUMBER: Robert Taylor 202-366-4289

CONTRACT STRATEGY:

The GIS is managed by the Office of Acquisition and Grant Management, with contractor support for system operation, maintenance and programming from the Transportation Computer Center.

INITIATIVE ID: OSTOO008 **OA:** OST

ORGANIZATION/ENTITY (OA OFFICE SYMBOL - PHONE BOOK CODE): M-60

TITLE OF PROGRAM/PROJECT:

U.S. ELECTRONIC GRANTS PROJECT

TOTAL LIFE CYCLE COST (IN \$000): \$1,500

DESCRIPTION:

The U.S. Electronic Grant Project is a DOT developed pilot system to use state-of-the-art web based technology to allow Federal grantees to submit grant information using the internet. The project is funded Departmentwide and managed by FRA, with the operating administrations funding through reimbursable agreements starting in FY99. OST budgeted costs are provided here. To reduce the burden on grantees, the Federal Commons concept is being proposed for initiation in FY00. The Federal Commons will allow a grantee to choose the automated input system, from a limited number of systems, that best fits the grantee's needs. Thereby providing one face to Government.

JUSTIFICATION - PERFORMANCE AND SAVINGS:

The U.S. Electronic Grants Project is designed as an interoperable system for processing grant application and award information between grantees and Federal agency grant management systems. When fully implemented, the system will increase the quality of customer service for Federal grants applicants and enhance the operation of Federal grantor organizations. The system provides a single-stop approach through the development of a common user interface, thereby reducing procedural steps, processing time, and the cost of paper, printing, telephone calls and mailing expenses.

CONTACT PERSON AND PHONE NUMBER: Ann Fisher 202-366-4288

CONTRACT STRATEGY:

The system has been developed under the technical leadership of FRA using support contractors for the development of the various system modules.

INITIATIVE ID: OSTOO009 **OA:** OST

ORGANIZATION/ENTITY (OA OFFICE SYMBOL - PHONE BOOK CODE): M-60

TITLE OF PROGRAM/PROJECT:
ELECTRONIC POSTING SYSTEM

TOTAL LIFE CYCLE COST (IN \$000): \$950

DESCRIPTION:

The Electronic Posting System is a government developed system to post solicitations and other business opportunities on the web. It will allow contract specialists to directly post their small and large contracts on DOT's web site and it will allow vendors to search on one site for business opportunities. Future development includes allowing bids to be received via the system, gathering statistics required by the Office of Federal Procurement Policy (OFPP) automatically, posting grant opportunities, and posting procurement forecasts.

JUSTIFICATION - PERFORMANCE AND SAVINGS:

The system will reduce the cost the operating administrations and contractors have to expend to post solicitations and review and download business opportunities.

CONTACT PERSON AND PHONE NUMBER: LesleyField 202-366-4960

CONTRACT STRATEGY:

GSA is supplying the code and is also writing a common index so that vendors can search at the agency or government-wide level. The software and upgrades are generally being funded by GSA. DOT will be responsible for technical support and maintenance, and may be responsible for assisting GSA in funding the baseline functionality.

INITIATIVE ID: OSTOO010 **OA:** OST
ORGANIZATION/ENTITY (OA OFFICE SYMBOL - PHONE BOOK CODE): S-30
TITLE OF PROGRAM/PROJECT:
CASE MANAGEMENT SYSTEM (CMS)
TOTAL LIFE CYCLE COST (IN \$000): \$311

DESCRIPTION:

S-31 developed and implemented the automated tracking systems for internal complaints against DOT and for Disadvantaged Business Enterprise (DBE) certification appeals filed with DOT. These systems are called Case Management System (CSM) and DBE Appeals, respectively. These systems represent major milestones for DOT in that they provide, for the first time, the capability to track all complaints filed with the Department and to analyze trends, processing timeframes, investigate workloads, and to identify "EEO hot-spots" in the Department. Case Manager also provides, for the first time in the Department, the means to respond to statutory reporting requirements re complaints loads, complaints processing and complaint outcomes.

JUSTIFICATION - PERFORMANCE AND SAVINGS:

Without adequate support to maintain this system, DOCR could not adequately track internal complaints. The means to respond to statutory reporting requirements would also be severely impacted.

CONTACT PERSON AND PHONE NUMBER: Amy Baker 202-366-1779

CONTRACT STRATEGY:
Contract awarded to 8A firm.

INITIATIVE ID: OSTOO011 **OA:** OST
ORGANIZATION/ENTITY (OA OFFICE SYMBOL - PHONE BOOK CODE): S-30
TITLE OF PROGRAM/PROJECT:
DISADVANTAGED BUSINESS ENTERPRISE (DBE)
TOTAL LIFE CYCLE COST (IN \$000): \$85

DESCRIPTION:

The Disadvantaged Business Enterprise (DBE) Appeals system is used to track and report DBE and Third Party complaints. The system is written in Clipper language, operates on standard IBM PCS and tracks 41 fields of alphabetic and numeric material per appeal case. Total system volume is approximately 1000 appeal cases; about 200~300 new cases are added each year and about 300 cases are closed annually. Work on the system is performed off-site by the contractor and then installed, tested and evaluated on-site at the DOCR Washington Regional Office.

JUSTIFICATION - PERFORMANCE AND SAVINGS:

Without adequate support for this system, DOCR could not adequately track DBE Certification Appeals. The means to respond to statutory reporting requirements would also be severely impacted.

CONTACT PERSON AND PHONE NUMBER: Amy Baker 202-366-1779

CONTRACT STRATEGY:
Contract awarded to an 8A firm.

INITIATIVE ID: OSTOO012 **OA:** OST
ORGANIZATION/ENTITY (OA OFFICE SYMBOL - PHONE BOOK CODE): S-30
TITLE OF PROGRAM/PROJECT:
EXTERNAL CASE TRACKING SYSTEM (XTRAK)

TOTAL LIFE CYCLE COST (IN \$000): \$246

DESCRIPTION:

XTRAK was developed to record and report selected data about external civil rights cases. It will be used by DOCR, the Operating Administrations (OA) Civil Rights headquarters (HQ) offices, and possibly regional Civil Rights offices, to report on the following types of cases; external complaints, external complaints that become compliance reviews; and compliance reviews that are initiated independently of an external complaint (i.e., compliance reviews that do not start out as external complaints). The system will provide an audit trail of record changes to support data verification. XTRAK has security features to ensure that only authorized users access and modify case records.

JUSTIFICATION - PERFORMANCE AND SAVINGS:

XTRAK is being designed to handle external complaints and external complaints that convert to compliance reviews. The system will significantly streamline case reporting activities and will increase the overall effectiveness of service to complainants.

CONTACT PERSON AND PHONE NUMBER: LT. Cedric A. Hughes 202-366-0428

CONTRACT STRATEGY:

Contract awarded to an 8A firm.

INITIATIVE ID: OSTOO013 **OA:** OST

ORGANIZATION/ENTITY (OA OFFICE SYMBOL - PHONE BOOK CODE): OST/S-80

TITLE OF PROGRAM/PROJECT:

OST LOCAL AREA NETWORK (LAN)

TOTAL LIFE CYCLE COST (IN \$000): \$5,625

DESCRIPTION:

The Office of the Secretary local area network services approximately 400 employees. These employees are from all "S" Offices, the Office of the General Counsel, the Office of the Assistant Secretary for Administration, the Office of the Assistant Secretary for Government Affairs, and the Office of Public Affairs. Help desk, Network, e-mail and the internet services are contracted for with TASC. Costs are for a 3 year life cycle and are comprised of a services contract with TASC (maintenance) and the purchase of desktop hardware and software.

JUSTIFICATION - PERFORMANCE AND SAVINGS:

The OST Local Area Network (LAN) provides OST with the tools necessary to take advantage of Information Age Technology to increase productivity. Desktop software provides word-processing, accounting, presentation, and data base management capability to OST employees, and e-mail allows employees to quickly distribute and receive electronic documents via the OST LAN which connects to the DOT WAN and the Internet.

CONTACT PERSON AND PHONE NUMBER: Tim Horkan 202-366-6516

CONTRACT STRATEGY:

Contract through TASC

INITIATIVE ID: OSTOO014 **OA:** OST

ORGANIZATION/ENTITY (OA OFFICE SYMBOL - PHONE BOOK CODE): OST/S-80

TITLE OF PROGRAM/PROJECT:

OST Pooled IT Applications and Mainframe Support - OSTOO014 has been incorporated into this initiative

TOTAL LIFE CYCLE COST (IN \$000): \$10,945

DESCRIPTION:

To achieve better management and more efficient use of OST IRM resources, funding for application and mainframe support for most OST organizations is pooled together and managed by the Office of the Chief Information Officer. These organizations are: all "S" offices except S-30, The Office of General Counsel, The Office of The Assistant Secretary for Administration, The Office of The Assistant Secretary for Governmental Affairs, and The Office of Public Affairs. OST systems include the Executive Correspondence Tracking System, The Performance Agreement Tracking System, the (AIRLINE) Consumer Compliant Information System, and several general counsel small database systems. Costs include charges to access data from both OST and DOT mainframe data bases. A 15 year life cycle was used to compute costs.

JUSTIFICATION - PERFORMANCE AND SAVINGS:

CONTACT PERSON AND PHONE NUMBER: Tim Horkan 202-366-6516

CONTRACT STRATEGY:

Contract through TASC

INITIATIVE ID: OSTOO015 **OA:** OST

ORGANIZATION/ENTITY (OA OFFICE SYMBOL - PHONE BOOK CODE): B-1

TITLE OF PROGRAM/PROJECT:

Chief Financial Officer Local Area Network (cfo-Lan)

TOTAL LIFE CYCLE COST (IN \$000): \$0

DESCRIPTION:

The CFO-LAN is used within the Office of the Assistant Secretary for Budget and Programs/Chief Financial Officer to support the basic mission of the organization.

JUSTIFICATION - PERFORMANCE AND SAVINGS:

CONTACT PERSON AND PHONE NUMBER: David Kleinberg 202-366-9192

CONTRACT STRATEGY:

8A